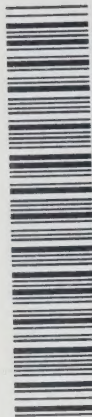


CH1
TB
74672

Chapter
III
Date
February, 1977



3 1761 12063402 7

GUIDE ON EDP ADMINISTRATION

PLANNING AND APPROVALS FOR EDP NEEDS

Government
Publications

	Page
PURPOSE	1
DIRECTIVES	3
GUIDELINES	4
INTERPRETATION AND ADVICE	5



Treasury Board

CANADA

VF

PURPOSE

The EDP policy approved by Treasury Board requires that EDP plans be prepared annually by departments and agencies. This chapter identifies the EDP planning activities, approval process and related information requirements for action by departments, agencies and the Treasury Board Secretariat.

The basic objectives of these information requirements are to ensure that the development and use of EDP in support of program objectives are adequately planned at all levels within departments and agencies, and that EDP is co-ordinated on a government-wide level. Implementation of the chapter's requirements should lead to the following benefits:

- Through the EDP reporting and planning process, deputy heads and departmental managers will be provided with information to assist in the effective management of those EDP resources required to support departmental programs.
- On the basis of an Annual EDP Plan submission, a department or agency will be able to obtain most of the required approvals in principle for its planned use of EDP resources, thus minimizing the need for individual submissions.
- Departmental management will be assisted in the evaluation of the effectiveness and efficiency with which EDP is contributing to the achievement of government program objectives.
- Departments and agencies, with the assistance of the Treasury Board Secretariat, will be able to identify opportunities for sharing information, information plans and related expertise, when such sharing would lead to program, economic or other benefits.
- The Treasury Board Secretariat will be able to undertake a meaningful assessment of EDP activities in support of items in departmental program forecasts and other submissions.
- The Treasury Board Secretariat will be supported in the co-ordination and monitoring of EDP use in the federal government.

The chart that follows identifies the timing relationship between EDP planning and program planning.

EDP Planning Event	FISCAL YEAR																		Program Planning and Budgeting Event
	Current Year												New Year						
	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A		
<ul style="list-style-type: none">- TB calls for Annual EDP Plan. Departments prepare Annual EDP Plan submission.- Departments submit Annual EDP Plan submission.- ISD reviews Annual EDP Plan submissions.	-																	<ul style="list-style-type: none">- TB calls for Main Estimates (NY).- TB calls for Supplementary Estimates (CY).- Departments submit Main Estimates to Program Branch.- Departments submit Supplementary Estimates to Program Branch.	
<ul style="list-style-type: none">- ISD prepares consolidated Annual EDP Plan submission.																		<ul style="list-style-type: none">- TB reviews Main Estimates.- Cabinet reviews Main Estimates.	
<ul style="list-style-type: none">- ISD prepares Annual Review of EDP in the Federal Government.- TB issues letters of authority on EDP plans.																		<ul style="list-style-type: none">- Tabling of Main Estimates.- Departments plan Program Forecast (NY+1).- Departments submit Program Forecasts to Program Branch.- Program Branch reviews Program Forecasts.- TB/Cabinet review A and B Budgets.- TB issues Budget Guidelines for Main Estimates (Target Figure).	

CHAPTER III

DIRECTIVES

1.1 Treasury Board approval in principle shall be obtained each year for an over-all departmental EDP plan detailing:

- a) the approach to the development and use of electronic data processing in support of departmental programs and activities;
- b) the expected use of new EDP resources and services in support of departmental programs and activities; and
- c) significant acquisitions of EDP equipment, goods and services (as defined in Directive 1.4).

1.2 Approvals in principle shall be obtained through:

- a) an Annual EDP Plan, in the form of a submission to the Treasury Board no later than September each year from each department or agency; and
- b) other submissions to the Treasury Board as appropriate.

1.3 Approval in principle of Annual EDP Plans by the Treasury Board will be sufficient authority for departments and agencies to proceed with the implementation of these plans and to acquire the goods and services specified therein, provided that:

- a) the necessary funds and man-years are available within Treasury Board-approved departmental resource allocations;
- b) any specific requirements identified in the Treasury Board letter of authority on the EDP Plan are met;
- c) the requirements of the *Policy and Guidelines on Contracting in the Government of Canada* and the "Government Contracts Regulations" are met; and
- d) there is compliance with other applicable Treasury Board policies and directives.

1.4 Departments and agencies will normally obtain approval in principle for significant acquisitions through specification of these acquisitions in the Annual EDP Plan.

A significant acquisition includes acquisition of goods and services from, and renewals of service contracts with, the private sector or other government departments, and any exchange or modification of EDP equipment involving:

- a) the addition or exchange of a central processing unit; or

- b) additions to a computer configuration in any fiscal year which total 20 per cent or more of the rental or imputed rental value of the configuration as it existed at the close of the preceding fiscal year; or
- c) any other goods (excluding production supplies) or services with an annual cost, rental or imputed rental value which exceeds:
 - i) \$25,000 if no tenders are to be called, or
 - ii) \$50,000 if tenders are to be called; or
- d) the addition to in-house resources of an EDP service not previously available in the department or agency, which could be obtained either from other departments or from the private sector and whose full initiation cost or annual operating cost is in excess of \$25,000.

1.5 Departments and agencies shall inform the Information Systems Division of the Treasury Board Secretariat by procurement memorandum upon the identification of:

- a) the need for any significant acquisition not previously identified in an Annual EDP Plan submission; and
- b) changes in the nature or expected cost of a proposed acquisition since approval in principle was granted.

Within five full working days after the memorandum has been received by the Secretariat, the originating department or agency will be informed whether additional information or further Treasury Board approval is required.

GUIDELINES

1.6 Departments and agencies should notify the Information Systems Division of the Treasury Board by memorandum as early as possible whenever significant changes in approved plans are necessary or considered likely.

1.7 Deputy heads should designate an EDP advisor or co-ordinator to act as a focal point in the preparation of the Annual EDP Plan submission and in the implementation of approved plans, ensuring the participation of users and of those EDP centres that fall within the authority of the department. If appropriate, the advisor may also be responsible for co-ordinating the planning, acquisition, monitoring and auditing of an effective EDP service, whether the service is obtained from government resources or from the private sector. The advisor would normally work closely with departmental users of EDP services, potential suppliers, the Supply Administration, and the Treasury Board Secretariat to ensure an effective exchange of information.

INTERPRETATION AND ADVICE

1. The Annual EDP Plan submission, which is due each September, should normally be presented in three basic parts:

1.1 Report

The report on the past fiscal year (PY) and current year (CY) to date should be a narrative highlighting the major uses of EDP in support of departmental programs and activities, comparing actual use with previous plans, identifying any departures from these plans, and providing an assessment of services received or provided.

1.2 Plan

The plan should identify the planned approach to the development, use, and acquisition of EDP required to support departmental programs or users, or both, for the remainder of the current year (CY), new year (NY) and subsequent year (NY+1), and also provide a general statement of longer-range plans. CY information should describe the current year's activities within approved resource allocations; NY information should reflect the planned EDP utilization in support of those program activities likely to be incorporated in the Main Estimates; and NY+1 information should identify likely EDP support for those activities in the subsequent Program Forecast. The plan should contain a justification of any new EDP services which a department or agency proposes to provide in-house, and of any significant equipment or service acquisitions proposed for the remainder of the CY or NY.

1.3 Statistical Tables

The tables should support and quantify the narrative discussion contained in the report and plan sections.

Detailed reporting instructions on the content for the report, plan and statistical tables will be provided as required by the Treasury Board Secretariat, with changes approved by the Advisory Committee on Information Systems.

2. Approvals in principle for EDP activities, as required in Directive 1.1 are primarily obtained through the Annual EDP Plan submission. "Approval in principle" means authority to proceed with a planned EDP approach, project or supporting acquisition. It does not imply an allocation of the funds required to implement a project, but is normally obtained prior to such an allocation by the inclusion of, or a specific commitment of the Treasury Board to include, the necessary funds in Main or Supplementary Estimates; or by the specific allotment or transfer of already appropriated funds from another project. Approval in principle does not provide authority to enter into a contract; such authority is governed by the *Policy and Guidelines on Contracting in the Government of Canada* and the "Government Contracts Regulations". In addition, EDP capital projects may require the same approval as other capital projects, in accordance with Circular No. 1970-5 (T.B. 692776).

3. Departments or agencies may be faced with situations requiring resource allocation submissions to the Treasury Board on proposals that were not included in the Annual EDP Plan. If such situations involve significant changes in the planned use of EDP, the changes in EDP plans should be set forth in the accompanying documentation. Departments and agencies must also ensure that any EDP centres or organizations which may have to respond to such changes in plans are notified as early as possible, and that the Supply Administration is notified of any special needs which may have to be met.
4. In terms of annual EDP planning activities, departments and agencies should undertake the following:
 - 4.1 Determine, in liaison with the Information Systems Division, the nature of detailed reporting requirements and any particular modifications necessitated by the department's environment, including the identification of EDP centres for reporting purposes, as well as the degree of consolidation of departmental and centre information for the EDP plan.
 - 4.2 Prepare the Annual EDP Plan submission, taking into account all departmental and any interdepartmental user requirements, with the review and approval of senior departmental management and the endorsement of any appropriate advisory committees.
 - 4.3 Submit the Annual EDP Plan as an official Treasury Board submission, no later than September.
 - 4.4 Provide interpretation, as necessary, during the Treasury Board Secretariat's review of the planning submission.
 - 4.5 Use the approved EDP Plan as the basis for managing EDP activities, including the monitoring and evaluation of EDP support to departmental programs and EDP services received or provided.
 - 4.6 Notify the Information Systems Division by procurement memorandum, as appropriate.
5. The Information Systems Division of the Treasury Board Secretariat should:
 - 5.1 Issue annual reporting instructions, as required, and provide interpretations to departments and agencies.
 - 5.2 Review the Annual EDP Plan submissions and recommend to the Treasury Board appropriate approvals in principle.
 - 5.3 Identify instances where further action is required, such as additional Treasury Board submissions, procurement memoranda, or Secretariat participation in the monitoring and review of selected projects of continuing interest or special importance.

- 5.4 Effect liaison with departments, agencies and the Program Branch, Treasury Board Secretariat, on proposed EDP expenditures in relation to departmental programs and activities, at the time of the Annual EDP Plans, Program Forecast and Main Estimates, and other submissions.
- 5.5 Identify areas in which individual government departments and agencies could assist one another in supporting common EDP objectives.
- 5.6 Assess the general conformance of EDP performance to EDP plans.
- 5.7 Prepare a consolidated EDP plan as a submission to the Treasury Board, elaborating on the analysis of the Annual EDP Plans; their anticipated impact, on an aggregated basis, on EDP administration; and the key EDP areas of concern in the forecast period.
- 5.8 Inform departments and agencies of the Treasury Board's approved disposition of Annual EDP Plans.
- 5.9 Inform the Supply Administration of departments' approved acquisition plans and of any special procurement requirements that Supply may be asked to meet.
- 5.10 Produce an annual review of EDP in the federal government, including aggregated information from the Annual EDP Plans, for distribution within the government and to the public.
- 5.11 Review procurement memoranda and notify departments and agencies accordingly within five working days of receiving the memoranda.

